

DEPARTMENT OF BENEFIT PAYMENTS



February 14, 1974

ALL-COUNTY LETTER NO. 74-32

TO: ALL COUNTY WELFARE DIRECTORS

SUBJECT: IMPLEMENTATION OF P.L. 93-233

REFERENCE:

Recent amendments (P.L. 93-233) to the Social Security Act signed by the President on December 31, 1973, included a change in the definition of disability contained in HR-1. This amendment adds the requirement that an ATD recipient must have been paid a grant for at least one month prior to July 1973, as well as for December 1973, to be eligible for conversion to the Supplemental Security Income (SSI) program. The implementation of this amendment will require counties to provide certain information from the case files of selected cases so that a determination of continued eligibility can be made.

The Social Security Administration (SSA) must first determine, from county input, which ATD recipients received a payment for any month prior to July 1973. Then, for all recipients to whom no payment was made prior to July, a complete redetermination of disability based on Title XVI criteria will be necessary.

The county should have already received from SSA a pre-screened list of cases which must be reviewed. This three copy list will be used by the county:

1. To transmit data to the Disability Evaluation Program (DEP);
2. To transmit data to the SSA Central Office; and
3. As a control listing.

The cases on this list will be automatically discontinued from aid effective March 31, 1974, unless the new disability determinations are completed by March 15. It is therefore imperative that the county complete this project as soon as possible but no later than February 28, 1974.

Additionally, SSA will also review all drug addiction and alcohol cases regardless of date of entitlement. These cases will be reviewed by the DEP to determine the correctness of the drug and alcohol coding.

The specific instructions for this project are contained in Conversion Procedures Manual Revision #9, which is included as an attachment. A brief overview is provided below.

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OBSOLETE
Superseded by PCL # 77-15
Issued 3-7-77

COUNTY PROCESSING STEPS

1. On the SSA supplied list, in the column DATE OF ENTIT enter the earliest date for which a cash payment was made except where there is the word "BEFORE" in the ACCR BEFORE column. Date of entitlement is not required in this instance.
 - A. If there is a number in the DRUG/ALCOHOL (D/A) column, then documentation will always be required from the case folder.
 - B. If there is no D/A number and date of entitlement is after June 1973, then documentation will be required from the case folder.
 - C. If there is no D/A number and date of entitlement is prior to July 1973, then no further development is necessary other than the completion of the DATE OF ENTIT column on the list.
 - D. Additionally, there will be cases on the list which do not belong to your county. When this occurs, call the county indicated in the welfare case number and have the case added to that county's list. These cases should be added to the pre-headed blank pages which are provided. All names on the list must correspond to the physical location of the case folder. Do not correct errors on the list. The contact reference to add cases for Los Angeles County is Wynne Osborne at (213) 572-5789 or Jim Weathers at (213) 572-5717.
2. Where medical evidence is required the following steps must be accomplished.
 - A. Remove all of the medical packets which had been submitted to the State Medical Review Team (SMRT) including each DM-3. Photocopy the final DM-3 which approves the disability on which aid was granted. If additional medical/social material has been received since the DM-3 approval, include it with the packet. None of the material which was collected for the SMRT should remain in the case folder.
 - B. Return the DM-3 photocopy to the case folder. This should be the sole remaining document relating to medical/social information in the case folder.
 - C. Place the removed packet(s) in a folder, one per case. The folders should then be batched into two categories for shipment.

The D/A cases which had the word BEFORE annotated on the list should be placed in a separate carton(s). The package(s) should be clearly labeled "D/A CASES."

The post-June cases must then be further separated. Those cases which have a number in the D/A column should be placed in the rear of the carton(s) and separated by a piece of paper annotated "POST JUNE D/A CASES." The outside of the carton(s) must be labeled "PRIORITY ROLLBACK CASES."

The county must include the page(s) of the list (first carbon copy) corresponding to the medical evidence in the shipment labeled "PRIORITY ROLLBACK CASES." An Advice for Transmittal Form must also be prepared, instructions for which are in the attachment.

D. The carton(s) should be sent as follows:

County

To

Los Angeles

(If mailed)
Disability Evaluation Program
P. O. Box 3819, Terminal Annex
Los Angeles, CA 90051

(If shipped UPS or delivered by messenger)
Zenith Building
6300 Wilshire Boulevard, Room 1570-A
Los Angeles, CA 90048

Attention: Loraine Lively

All others

(If mailed)
Disability Evaluation Program
P. O. Box 24225
Oakland, CA 94623

(If shipped UPS or delivered by messenger)
675 Hegenberger Road
Oakland, CA 94621

Attention: Clara Krakaki

3. The original completed copy of the list should be mailed in accordance with the instructions on page C-142 of the attachment.

It must be emphasized that steps 2 and 3 be accomplished on a flow basis.

REIMBURSEMENT OF EXPENSES

All costs attributable to this project will be reimbursed by SSA. The county should use line O of form DFA 43 to record the time spent on this task. This work will normally be performed by an eligibility worker. However, time may be charged to line O be clerical staff performing this task if 100% of their time during the month is spent on eligibility functions. Further fiscal instructions will be forthcoming.

REPORTING REQUIREMENTS

The county must contact (916) 322-2676 when this project is complete. The county should report:


1. Total number of cases on list;
2. Number of cases relayed to other counties;
3. Number of cases received from other counties;
4. Number of cases previously deleted;
5. Number of cases unable to locate. Every effort must be made to locate all cases on the list as these recipients will be discontinued if the disability determination is not completed;
6. Number of post-June, 1973 cases where data was sent to DEP;
7. Number of Drug or Alcohol cases sent to DEP;
8. Number of cases on list which had pre-July, 1973 entitlement; and
9. Date completed.

The numbers (items 1 - 8 above) to be reported are all interrelated. To enable the county to check its figures, the following formula can be used: $(1-2+3-4-5) = (6+7+8)$.

If completion of this project is delayed past February 28, 1974, then the county must make this report every second working day until completion.

Questions concerning this project should be directed to Denis O'Sullivan at (916) 322-2676.

Sincerely,



DENNIS O. FLATT
Deputy Director
Welfare Payment Operations

Attachment

January 1974

STATE CONVERSION PROCEDURES MANUAL

Revision Notice No. 9

Filing Instructions:

New Pages

Entire Section XV

This revision describes the provision of P.L. 93-233 which modifies the definition of disability for cases first accreted to the State rolls after June 1973 and outlines the methodology to be used in implementing the provision.

Because the procedures required to implement this provision are self-contained and do not require interface or reference to other conversion procedures, revision No. 9 should be kept as a separate section in the State Conversion Procedures Manual. Marginal brackets are used in the Table of Contents to identify the addition of Section XV.

STATE CONVERSION PROCEDURES MANUAL

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EXHIBITS

- A -- Conversion Data Record Form
- B -- Status Change Request Form
- C -- Advice of Transmittal
- D -- Report on Institutional Status
- E -- Prospective Enumeration Flow
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- G -- Record Layouts
- H -- Guide for Developing Questionable Cases
Involving Living in the Household of Another

Section XV

IMPACT OF P.L. 93-233 ON THE CASE
CONVERSION PROCESS

A. Law and Policy

P.L. 93-233 provides an amendment to the definition of disability contained in section 1614(a). The language of section 1614(a) provided that an individual would be considered disabled if he were disabled as defined under a State plan in effect for October 1972 and received payment for December 1973. P.L. 93-233 adds the requirement that the individual must also have been paid an Aid to the Permanently and Totally Disabled payment for at least 1 month prior to July 1973 as well as for December 1973.

To implement this provision, SSA must determine from the States which of the APTD recipients, reported for the conversion, received a payment for any month before July 1973, whether or not such payment was continuous through December 1973. For instance, the individual could have a record of receiving disability payments for 1 month back in 1971, or the record could have been a periodic one; e.g., July, August, and September 1972--then off the rolls for a period of time--only to reappear for December 1973. The receipt of a pre-July payment can be from a different State or county than the one from which the individual received benefits in December 1973. If the individual received an APTD payment prior to October 1972, it is not necessary that such payment be under the same plan in effect in October 1972.

In those State that pay retroactively, the individual may also qualify for conversion, if the disability payment was made for any month prior to July 1973. For example, if disability was not finally determined until August 1973 but the State paid retroactively for the month of May 1973, the individual would qualify for grandfathering of disability. If an individual received a presumptive disability payment prior to July, such payment meets the pre-July payment requirement of section 1614(a) as long as he was finally allowed on the presumptive claim.

Because individuals for whom no payment was made prior to July must meet title XVI disability criteria to be considered disabled, it will be necessary for States to transfer the medical evidence as well as other relevant data for such individuals to Disability Determination Units (DDU's) so they can determine whether the individual is disabled.

Note that the above provision amends the disability definition, not the grandfathering definition. Thus, even individuals who first received payment from the State after July can still be grandfathered for the purposes of mandatory supplementation, essential person, and resources provisions if they meet title XVI disability criteria. States should, therefore, continue to report accretions to SSA so the disability can be determined.

B. Strategy for Implementation of Section 1614(a) of P.L. 93-233

1. General

In order to implement the revisions of section 1614(a) of P.L. 93-233, the Social Security Administration will set up a special file to control the conversion disability cases which may be affected by the legislative provision. This will be identified as the Conversion Master Record/Disability (CMR/D). The CMR/D will contain all APTD accretions from State accretion tapes for July 1, 1973 or later. The cases will be screened against SSA's Master Beneficiary Record (MBR) to eliminate cases with title II aged or disabled entitlement. Remaining cases will be identified for the States so they can determine if any of the cases involved received a disability payment prior to July 1973. Those which did not receive a pre-July payment will be forwarded to DDU's to see whether title XVI disability criteria are met.

2. Treatment of Cases with Codes Involving Drug Addicts and Alcoholics

To eliminate unnecessary duplication of work, it has been decided that all conversion cases with drug addict and alcoholic codes will be handled in the same manner and during the same time frames as all the APTD cases affected by section 1614(a) as amended, instead of using special procedures established in early January. Cases involving a pre-July payment will be reviewed by the DDU's to determine the correctness of the drug and alcohol coding. Cases first receiving payment after July will require a disability determination using title XVI disability criteria.

3. Action Required by State Welfare Offices

SSA expects to complete its screening of the APTD cases by February 1, 1974, and to transmit the identification of cases potentially affected by P.L. 93-233 to the States by February 4. States should begin immediately to pull folders and verify payment dates prior to July 1973. Beginning about February 7, medical evidence for those cases put on State rolls July 1973 or later should be transferred, on a flow basis, to the DDU's.

It is imperative, from a cost and time standpoint, that the SWA provide the DDU with sufficient documents from the APTD/AB folder to permit a disability decision without the need for requesting additional information from the SWA. In those SWA's where the disability portion of the file is maintained in a separate folder, it would be preferable to forward that entire folder to the DDU making sure that all disability related material is included.

In those States where the disability material is merged with the remainder of the material, it may be decided to forward only those documents necessary for a disability determination. If this is the case, care must be taken to include all disability reports dating approximately 1 year prior to APTD/AB entitlement. In certain impairments, e.g., TB or heart disease, earlier reports may be needed to establish diagnosis, severity, or duration. (Copies of documents are acceptable.)

Depending upon the particular circumstances of the case, it may be helpful to forward copies of disability related material, such as the social service summary, application for payment, or other documents which serve to provide a fuller picture of the individual. When there is doubt as to the usefulness of any information in a particular case, include it in the material being forwarded.

NOTE: It may be useful at the outset for the SWA to discuss with the DDU their evidence requirements in relation to what is in the SWA folder.

It is expected that States will be able to complete activities involving locating folders, reviewing for a payment date, and transmitting the medical evidence to the DDU's within the time frames of their existing conversion agreements. If this is not possible, contract adjustments can be made as required. Expenses incurred by the States in performing identification of the affected APTD cases, resultant folder review, and subsequent reproduction and transmission of medical evidence to DDU's is fully reimbursable as a conversion cost.

C. Procedures for Implementation

In order to effectively implement the provisions of Section 1614(a) of P.L. 93-233, the States must identify recipients who received payment in any month prior to July 1973 in any jurisdiction within the State. The Bureau of Data Processing, SSA, has created a new "disability" file of all cases housed on the CMR which met certain criteria. The initial step was to select cases accreted from State files dated July 1, 1973, or later with an assistance category of "D," "E," or "T." Blank assistance categories were selected if the date of birth indicated the individual to be under age 65. Also selected were cases, regardless of accretion date, which indicated drug addiction or alcoholism.

All cases on this new "disability" file were then screened to the MBR to determine which cases had title II entitlement. Where either title II disability entitlement or entitlement based on establishment of age 65 or over was found, the cases were inactivated on this file. Of the active cases remaining, individuals that the States showed as being age 65 or older were identified and transmitted to SSA district offices for age development. If the individual is found aged, the case will be inactivated on the "disability" file. If not aged, then the case will be referred, at a later date, to the State for determination.

After all the above-mentioned screening has taken place, the active cases on the "disability" file will be listed for transmission to the States.

1. The State/county will receive from SSA Central Office the above-mentioned 3-part listing (with carbon intact) approximately February 4, 1974. This listing has a three-fold purpose:
 - a. As a control listing for the State/county,
 - b. As a transmittal between the State/county and the DDU's, and
 - c. As a vehicle by which the States/counties will transmit data back to SSA Central Office.
2. The listing will be in the same sequence as the reconciliation or potential delete listings recently sent out from SSA, unless a different sort sequence is requested by the State/county. The following data will be shown on the listing:
 - a. State code
 - b. county code
 - c. originating office
 - d. welfare case number
 - e. name
 - f. address
 - g. person number

- h. column to enter earliest date of entitlement
- i. If drug addiction or alcoholism, an indication as to whether the individual was accreted to the conversion file before July 1, 1973.

NOTE: Cases without the drug addiction or alcoholism and pre-July indicator are disability cases accreted after June.

- j. drug addiction or alcoholism indicator.
- k. Social Security Number.
- l. assistance category (D, E, T, or blank)

NOTE: Blank assistance categories appear on this listing if the date of birth of the individual indicates he is under age 65. If case is determined to be disability, the case worker should enter the appropriate assistance category (D, E, T) in this column.

- m. other welfare case number

NOTE: Certain control and reference data will appear on this listing under headings that may not be familiar to the case workers. One heading is the "Person Number." This is for SSA internal control of the case and no action is necessary by the State. Another heading is labeled "Other Welfare Case Number." If a number appears in this column, it is the welfare case number of the disabled individual whose name appears on the listing. The number that appears in the "Welfare Case Number" column for this individual is the control number under which the case is located on the Conversion Master File in SSA Central Office.

- 3. Supplemental lists will be distributed as additional disability accretions are received and screened.
- 4. The State/county case workers should determine the date of entitlement, by case folder review, central index, or any other means available, and enter it on the listing in the "Date of Entitlement" column. The date should be entered as a 4-digit field, in the format MM/YY; e.g., February 9, 1973, will be entered 02/73. Enter this date for all cases except those DA/A cases with a pre-July indicator.
- 5. If it is discovered that a case is not a disability case, it should be lined through, the reason noted on the listing, and a Status Change initiated to SSA Central Office correcting the assistance category.

6. If a case should have been deleted for 12/73, line through the entry and note reason. A deletion should also be sent to SSA Central Office to ensure termination.
7. If a folder cannot be found by the State/county, the listing should be annotated "unable to locate."
8. The disposition of the case folders will be as follows:
 - a. No DA/A indication and there was a date of entitlement (as determined by the State/county) prior to July 1973. return the case folder to file.
 - b. No DA/A indication and the date of entitlement is after June 1973, forward case folder to DDU.
 - c. DA/A indication, always forward case folder to DDU.
9. The disposition of the listings will be as follows:
 - a. The original annotated copy should be transmitted to SSA Central Office.
 - b. The case folders should be associated with the first carbon copy of the listing and transmitted to the DDU.
 - c. The State/county should retain the second carbon copy of the listing for documentation.
10. Material should be transmitted to SSA Central Office and the DDU's on a flow basis; i.e., separate pages or a batch of pages--do not wait until the entire listing is completed.

11. If a case is "pending" or "temporarily unavailable," do not hold a page of the listing until this case is located. The page should be so annotated and transmitted to SSA Central Office and the DDU's as mentioned above. When the case is located and worked, enter all the data on one of the pre-headed blank pages provided for this purpose. (These pages will be supplied with the lists of disability cases.)

D. Shipping Instructions

1. General

- a. Prepare data (lists, folders, etc.) to be shipped to the Social Security Administration or to the DDU.
- b. Prepare an Advice of Transmittal for SSI State Conversion Data, Form 2673, in accordance with instructions in E. below. (See Exhibit C.)
- c. Remove and retain the Office Copy (third page) of the transmittal in the shipping area for control purposes. Place the original copy of the transmittal with the original list being returned to the Social Security Administration. Place the first copy with the list and folders being sent to the DDU.
- d. SSA or the DDU upon receipt of the shipment, will return a photocopy of the Advice of Transmittal to the originating office, acknowledging receipt of the shipment. If an acknowledged copy is not received within 20 days, contact SSA or the DDU regarding the discrepancy.

E. Packaging and Mailing

1. Mailing Lists to SSA

To prevent loss or separation of the lists from related transmittals, package and transmit each shipment of lists to SSA in appropriately heavy envelopes or cartons. Enter the address and number the envelopes or cartons in the shipment; e.g., 1 of 10, 2 of 10, 3 of 10, etc. In addition, prominently note the outside of the packages with "SSI STATE CONVERSION DISABILITY DATA" and show the transmittal numbers included in the package. Forward paper forms via first class mail to:

SOCIAL SECURITY ADMINISTRATION
P.O. Box 1437
BALTIMORE, MD 21203
ATTENTION: SSI RECEIVING UNIT

NOTE: All lists must be sent to the address given above.

2. Mailing Lists and Folders to DDU

To prevent loss or separation of the lists and folders from related transmittals, package and transmit each shipment of lists and folders to DDU as determined under State/SSA negotiations.

F. Instructions for Completing Advice of Transmittal

The Advice of Transmittal for SSI State Conversion Data is a half-page three-part form. The first copy will be used to accompany the shipment of lists sent to SSA Central Office. The second copy will be sent to the DDU along with the folders. The last copy is used by the originating office as a control. The form may be either completed by typewriter or pen. Instructions for preparing the form are as follows:

1. Date--Enter the current date that the transmittal is being prepared in a six-digit sequence; e.g., 07-09-73.
2. Originating Office--"S" should be entered here when the form is completed under State auspices, regardless of whether the form is actually completed by a State or county employee. If forms are to be sent directly to SSA from the county, the SSA county code should be entered in the originating office field, following the "S."

Whenever data is being transmitted by an SSA component, it should be identified here.

3. State Code--Enter the SSA State two-digit Geographical Code, regardless of whether the form is actually completed by a State or county employee. Also enter the State name.
4. Transmittal Number--Assign a three-digit ascending closed sequence number to each transmittal. Begin assigning numbers with 001 and maintain a record of the numbers for control purposes. Each new shipment will start with the next transmittal number ready to be assigned. Transmittal numbers cannot be duplicated within a county. If the State controls all of the forms being sent to SSA, transmittal numbers cannot be duplicated within a State.
5. Type of Data--Do not check any of the blocks for the type of data being sent; however, enter "disability cases" in this item.
6. Number of Records--Enter the number of case folders being sent to the DDU. Each folder must have a corresponding line entry on one of the lists. Enter the number of pages of listing being sent to SSA.
7. Type of Record--Do not check any of these blocks.
8. Number of Cartons--Enter the total number of cartons of lists or folders in the shipment. Indicate the number of the specific package and the number of packages on each; e.g., 1 of 3, 2 of 3, etc.

9. Number of Magnetic Tapes--Do not make any entry in this item.
10. Inventory (Reel) Numbers--Do not make any entry in this item.

Exhibit 7 — SSA-2673 (Advice of Transmittal for SSI State Conversion Data)

ADVICE OF TRANSMITTAL FOR SSI STATE CONVERSION DATA		DATE
1. ORIGINATING OFFICE	2. STATE CODE	3. TRANSMITTAL NO.
4. TYPE OF DATA <input type="checkbox"/> INITIAL <input type="checkbox"/> EXCEPTION RESOLUTION <input type="checkbox"/> SUPPLEMENTAL <input type="checkbox"/> CHANGE OF STATUS		5. TYPE OF RECORD <input type="checkbox"/> FORMS SSA — <input type="checkbox"/> MAGNETIC TAPE <input type="checkbox"/> PUNCHCARDS
6. NUMBER OF RECORDS	7. NUMBER OF CARTONS	8. NUMBER OF MAGNETIC TAPES
9. INVENTORY (REEL) NUMBERS		
10. SHIPPING CLERK'S INITIALS	11. RECEIVING CLERK'S INITIALS	12. DATE RECEIVED
FORM SSA-2673 1-73. ORIGINAL		